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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

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Total Number of Pages in This Submission

14

Application Number 10/086,769-Conf. #8954

Filing Date March 1, 2002

First Named Inventor Joseph M. Kochansky

Art Unit 3693

Examiner Name J. Patel

Attorney Docket Number 58985(49357)

ENCLOSURES (Check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☒ Amendment/Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Reply to Missing Parts/ Incomplete Application

☐ Reply to Missing Parts under 37 CFR 1.52 or 1.53

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) _____

☐ Landscape Table on CD

☐ After Allowance Communication to TC

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

Return postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name EDWARDS ANGELL PALMER & DODGE LLP

Signature

Printed name Jacob P. Martinez

Date September 12, 2007

Reg. No. 57,924

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Dated: September 12, 2007

Signature: (Charlotte Hanulik)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Joseph M. KOCHANSKY

Application No.: 10/086,769

Filed: March 1, 2002

For: **INVESTMENT PORTFOLIO
COMPLIANCE SYSTEM**

Art Unit: 3693

Examiner: Patel, Jagdish

Confirmation No.: 8954

**Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**

AMENDMENT AND RESPONSE UNDER 37 C.F.R. §1.111

Dear Sir:

Applicant submits this document in response to the Office Action mailed July 9, 2007.

Amendments to the Claims begin on page 2 of this paper

Remarks begin on page 10 of this paper.

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as First Class Mail, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Dated: September 12, 2007

Signature: Charlotte Hanulik (Charlotte Hanulik)